

## **VI APPENDIX**

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## DEPARTMENT OF REHABILITATIVE SERVICES

### SALARY ADMINISTRATION PLAN

EFFECTIVE JULY 1, 2003

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## ***I. EFFECTIVE DATE***

The Effective Date for the Department of Rehabilitative Services Salary Administration Plan is July 1, 2003.

- The Salary Administration Plan will be reviewed each fiscal year and will remain in effect until the Department determines that changes or revisions are required based on changing organizational needs, policies, laws, or legislation.

## **II. AGENCY SALARY ADMINISTRATION PHILOSOPHY AND POLICIES**

***DEPARTMENT OF REHABILITATIVE SERVICES MISSION STATEMENT: IN PARTNERSHIP WITH PEOPLE WITH DISABILITIES AND THEIR FAMILIES, THE VIRGINIA DEPARTMENT OF REHABILITATIVE SERVICES COLLABORATES WITH THE PUBLIC AND PRIVATE SECTORS TO PROVIDE AND ADVOCATE FOR THE HIGHEST QUALITY SERVICES THAT EMPOWER INDIVIDUALS WITH DISABILITIES TO MAXIMIZE THEIR EMPLOYMENT, INDEPENDENCE AND FULL INCLUSION INTO SOCIETY.***

The Commonwealth's *Compensation Philosophy* is to pay employees in a manner sufficient to support and develop a high performance workforce that provides quality service in a fiscally responsible manner to the citizens of Virginia. In accordance with that philosophy, the Department of Rehabilitative Services seeks to attract and retain competent employees to assure the successful accomplishment of the Department's mission. The Department seeks to maintain competitive salaries and to recognize outstanding job performance, *to the degree possible within existing fiscal resources*, for employees who consistently contribute to the successful accomplishment of the Department's mission in an exemplary manner.

The Department is committed to administering the Salary Administration Plan fairly and equitably. Salary actions will be based on merit, market data, and the Department's business needs and will not discriminate against any individual based on race, gender, national origin, religion, age, political affiliation, or disability.

### ***III. RESPONSIBILITIES***

**The Department has decentralized portions of pay practice decisions to Department management. There is a shared ownership of the Salary Administration Plan between Department managers and Human Resource Services (HRS). This supports management flexibility in making pay decisions that address their unique**

**needs; reduces turnaround time; and enables human resource staff to concentrate on more global agency-wide compensation issues for jobs and employees who are critical to the Department.**

Responsibility levels for pay practices is discussed in detail in Section VI. Compensation Process. Responsibility levels for other areas are outlined below.

#### Administration (Agency Head and Executive Management Team)

- Establish agency Salary Administration Philosophy
- Develop compensation priorities for the agency
- Assess salary priorities and departmental needs in developing and acting on pay practices
- Respond to employee appeals
- Provide feedback to employees on their performance
- Stay informed about compensation program

#### Managers (Division Directors)

- Provide employees information on compensation plan
- Administer compensation priorities for the agency
- Assess salary priorities and departmental needs in developing and acting on pay practices
- Monitor budgets for areas of responsibility
- Negotiate salaries with employees or applicants in accordance with Salary Administration Plan parameters
- Provide feedback to employees on their performance
- Respond to employee appeals
- Stay informed about compensation program

#### First-line Supervisors (Unit Heads)

- Monitor budget for area of responsibility
- Negotiate salaries with employees or applicants in accordance with Salary Administration Plan parameters

- Provide feedback to employees on their performance
- Encourage and coach employee career development
- Respond to employee appeals
- Stay informed about compensation program

#### Employees

- Seek career development opportunities
- Self development and application of new skills, competencies
- Stay informed about compensation program

#### Human Resource Services (Disability Services Agencies)

- Establish agency Salary Administration Philosophy
- Establish agency salary administration policies
- Provide managers and employees information on compensation plan
- Provide training to executives, managers, supervisors, and employees
- Assess salary priorities and departmental needs in developing and acting on pay practices
- Establish and allocate positions into proper role
- Review use of pay practices
- Respond to management and employee appeals
- Provide for program evaluation
- Review EEO impact of salary decisions, role allocations, and other decisions impacting pay or potential pay
- Stay informed about compensation program

## ***IV. RECRUITMENT AND SELECTION PROCESS***

**The Department uses a variety of recruitment markets based on the type of job. Local, regional, and national markets may all be used. For example, local and regional recruitment markets are typically used for Vocational Rehabilitation Counselors; however, for those counselors who serve clients who are deaf, a national recruitment market is typically used since these positions are hard to fill.**

**The majority of salary dollars are targeted for mission critical, direct service, or highly technical, hard to fill positions.**

The Department will use both the work title and role title when advertising for positions. For certain positions, the Department will post the work title only, if the work title is one that is well recognized by a particular profession, for

example, Occupational Therapist. The Department will advertise using the minimum of the pay band with the salary stated as negotiable, for example: “salary range begins at...” This provides more flexibility in hiring decisions. Management may include the entire pay range or part of the pay range based on budgetary issues, internal alignment, or salary reference data.

Managers will emphasize to candidates total compensation (salary and benefits) rather than just base salary.

## ***V. PERFORMANCE MANAGEMENT PROCESS***

In accordance with Department of Human Resource Management Policy 1.40, Performance Planning and Evaluation, and Policy 1.45, Probationary Period, the following procedures have been adopted.

The Employee Work Profile (EWP) has been customized to meet Department needs. It has been split into two forms for ease of use – 1) Work Description/Performance Plan and 2) Performance Evaluation. The following information was added to the Work Description/Performance Plan: the employee

name; the nature, frequency, and types of contacts the employee has; and the types of supervisory advice and guidance the employee receives and the actions/decisions the employee makes without prior approval. The “Agency/Departmental Objectives” were changed to “Evaluation Factors” with the following factors recommended: customer service, interpersonal relations, communications, attendance/punctuality, planning/analytical skills/decision making, adapting to change, and safety. Supervisors will use the factors most relevant to the employee’s core responsibilities. These forms contain all the required information as specified in Policy 1.40.

### ***Probationary Period***

The Department will use the “Probationary Progress Review” form as developed by the Department of Human Resource Management. The Employee Work Profile **will not** be used to evaluate probationary employees regardless of their hire or rehire date.

- **Performance Increases During the Probationary Period**

If a probationary employee is rated as “Contributor” on their Probationary Progress Review form they will be eligible for performance increases as outlined below:

Hire or Rehire Date	Percentage Increase Based on Established Rate
October 25 <sup>th</sup> – January 24 <sup>th</sup>	100% of rate for “Contributor”
January 25 <sup>th</sup> – April 24 <sup>th</sup>	75% of rate for “Contributor”
April 25 <sup>th</sup> – July 24 <sup>th</sup>	50% of rate for “Contributor”
July 25 <sup>th</sup> – October 24 <sup>th</sup>	25% of rate for “Contributor”

- **Extension of Probationary Period**

The probationary period **will not be extended for performance reasons** beyond the normal probationary period of twelve months.

The probationary period **will be extended** beyond the normal probationary period of twelve months (but not to exceed a total of eighteen months) when an employee moves to a new position in the last six months of his/her probationary period. This includes employees who change positions within the Department or those who come from other state agencies and are still on probation.

The probationary period is automatically extended when employees are on any leave with or without pay for more than fourteen consecutive calendar days.

### ***Performance Plans***

The Work Description/Performance Plan EWP is given to new or transferred employees within thirty days of their employment. Within thirty days of the beginning of the new performance cycle, new Work Descriptions/Performance Plans will be presented to employees and submitted to Human Resource Services.

- Upward Feedback

Employees are strongly encouraged to complete the Upward Feedback Form for Supervisors developed by the Department of Human Resource Management. This information will be used to determine the developmental needs of their supervisors. The form may be completed anonymously or signed by the employee and is then given to the employee's reviewer. The reviewer will compile the results of individual performance feedback forms for each supervisor. This summary information will be shared with the supervisor, as part of the discussion of the developmental portion of the EWP for the upcoming performance cycle.

Individual feedback forms will not routinely be discussed with the supervisor; however, the supervisor who is the subject of these records, does have access to the individual forms if he/she specifically requests to see them. The individual Upward Feedback Forms for Supervisors will be retained in the Reviewer's management file for at least sixty days after compilation of data and may be destroyed after this time.

### ***Documentation During the Performance Cycle***

- Interim Evaluations

Interim evaluations for probationary and non-probationary employees will not be required; however, managers are encouraged to use interim evaluations as they deem necessary. The "Interim Evaluation Form" developed by the Department of Human Resource Management will be used. This form should be retained in the supervisor's file.

- Documentation of Extraordinary or Substandard Performance

The Department will use the "Acknowledgement of Extraordinary Contribution" and "Notice of Improvement Needed/Substandard Performance" forms as developed by the Department of Human Resource Management. The "Acknowledgement of Extraordinary Contribution" form will be submitted to Human Resource Services.

The "Notice of Improvement Needed/Substandard Performance" form will be retained in the supervisor's file.

### ***Conducting Performance Evaluations***

- Employee Self-Assessment

Employees will be encouraged to use the Employee Self-Assessment Form developed by the Department of Human Resource Management. If an employee does not choose to complete a self-assessment, written documentation, typically in the form of an e-mail, will be obtained from the employee stating that he/she does not choose to complete the self-assessment. Both the employee self-assessment and the documentation stating that an employee does not choose to complete the self-assessment will be retained by the supervisor.

- Reviewer

The official reviewer is the supervisor of the employee's immediate supervisor. No additional levels of management beyond this will function as the reviewer.

- Written justification of ratings measures

Supervisors will be required to provide written justification for each rating measure.

- Employees who have been absent during the performance cycle

The Department will not reduce the amount of the performance increase for employees who have been absent for portions of the performance cycle.

- Appeals

The Department will use the appeals process as developed by the Department of Human Resource Management.

### ***Performance Increases***

- Designation of sub-agencies or sub-units

The Department will not designate either sub-agencies or sub-units.

- Distribution of Performance Increases

The Department wants to reward and recognize performance by both "Contributors" and "Extraordinary Contributors." Within policy and funding guidelines, the Department plans to award at least 90% of the Statewide Average Salary Adjustment to the "Contributor" level.

## ***VI. COMPENSATION PROCESS***

Department management and Human Resource Services share responsibility for the administration of the Salary Administration Plan. The Salary Administration Plan has decentralized standard, set percentage amounts for pay actions to management. Salary increases or decreases above or below the standards set will be reviewed and approved by Division Directors or the Agency

Head, and DRS Compensation staff. Appendix A lists Unit Heads and Division Directors who have designated authority levels for pay practices.

For all Pay Actions, salaries must be verified, in some cases, references must be checked, and the action must be based on the thirteen pay factors listed below. All thirteen pay factors must be considered when determining salary; however, not all have to be used. No salaries will exceed the maximum of the pay band or be below the minimum of the pay band.

The Pay Action Worksheet (PAW) is used to document all pay actions and make payroll changes. Non-pay related personnel actions such as requests to recruit, position establishments, or other non-pay related transactions will use the Personnel Action Request Form (PARF).

### ***Pay Factors***

**Current Salary:** The applicant's or incumbent's present base pay compensation, which may be reported as an hourly wage, weekly, semi-monthly, monthly, or annual salary. This salary amount does not include shift differentials, benefits, overtime, incentive premiums, bonuses, commissions, or other similar non-base-pay compensation. *NOTE:* If the applicant's salary is for less than twelve months; e.g., a teacher who works for nine months, then for comparison purposes, the salary should be converted to a twelve months salary.

**Total Compensation:** This includes all forms of cash compensation (e.g., base pay, shift differentials, overtime, on-call pay, bonuses, commissions, etc.) and the dollar value of the employer-sponsored benefits package (e.g., health and dental insurance, long and short term disability, paid leave, retirement, life insurance, etc.). *NOTE:* The greatest impact of total compensation will be on starting pay and competitive offers.

**Salary Reference Data:** A composite of relevant salary information (e.g., average salary range, median salary, weighted average salary, mid-point of salary range, etc.) extracted from available surveys that indicate market pricing for various jobs in the Commonwealth.

**Internal Salary Alignment:** A fairness criterion that takes into consideration the proximity of one employee's salary to the salaries of others who have comparable levels of training and experience; similar duties and responsibilities; each employee's performance; and similar knowledge, skills, abilities, and competencies. Internal salary alignment is determined by the examination of an employee's salary in relation to comparable co-workers.

**Budget Implications:** The short and long term financial consequences of pay decisions and how salary dollars are managed by an agency.

**Duties and Responsibilities:** The primary and essential work functions performed by an employee or group of employees. Variation in these duties and responsibilities help distinguish one employee from another for comparison purposes.

**Knowledge, Skills, Abilities, Competencies:** Elements commonly listed for job requirements, hiring qualifications, or employee credentials. Knowledge refers to acquired principles and practices related to a particular job (e.g., principles of accounting). Skills refer to acquired psychomotor behavior (e.g., operation of a forklift). Abilities are the talents, observable behavior, or acquired dexterity (e.g., ability to lift 50 pounds). Competencies are the knowledge, skills, and underlying behavior that correlate with successful job performance.

**Work Experience and Education:** The applicant's or incumbent's relevant employment history and academic qualifications. Work experience is the employment history of an individual, and typically includes the titles of jobs held and a corresponding description of the duties, responsibilities, and tasks performed. Education is academic credentials obtained and is usually listed as high school diploma, associate degree, bachelor's degree, or specific advanced degree.

**Performance:** The applicant's or incumbent's previous and/or current work accomplishments or outcomes and behavioral interactions that are typically assessed in written, verbal, or observational forms. NOTE: All management-initiated salary increases are based on employees meeting an acceptable performance level (rated as "contributor" or higher).

**Training, Certification, and License:** Job requirements or employee qualifications that are relevant or highly desirable for a particular job. Training refers to a specialized course of instruction outside the realm of recognized academic degree programs (e.g., in-service training, etc.). Certification refers to a specialized course of study resulting in a certificate upon successful completion (e.g., CRC). A license is a credential that is usually required by law to practice one's occupation (e.g., registered nurse, physician).

**Agency Business Needs:** The specific activities and organizational, financial, and human resource requirements that are directly derived from the agency's

mission. For example, changes in an employee's duties, abilities, etc., should be relevant to the agency's business needs in order to be compensable.

**Long-Term Impact:** The strategic and financial effect of anticipated future salary costs, staffing changes, salary alignment among employees, career growth, and salary reference data changes.

**Market Availability:** The relative availability of suitable, qualified employees in the general labor market, which is subject to the effects of supply and demand. Consideration should be given to the agency's tolerance for variation in the applicant pool and its willingness to accept applicants with fewer qualifications in times of high market demand.

## ***Pay Practices***

### Starting Pay

***Definition:*** Starting pay actions should consistently be aimed at attracting the most qualified applicants and paying them at a rate that is fair to the applicant, fiscally responsible, supports internal equity with existing staff, and is in line with relevant salary reference data.

*Approval Authority:* Unit Heads may approve salary offers up to 10% of the applicant's current or prior salary or to the minimum of the pay band. Salary offers over 10% (unless the offer is to the minimum of the pay band) must be approved by the Division Director or Agency Head and the Compensation Consultant assigned to the unit.

### Promotion

***Definition:*** Competitive movement to a different position in a higher pay band.

*Approval Authority:* Unit Heads may approve salary offers up to 10% of the applicant's current salary or to the minimum of the pay band. Salary offers between 11% and 15% (unless the offer is to the minimum of the pay band) must be approved by the Division Director or Agency Head and the Compensation Consultant assigned to the unit.

### Voluntary Transfer – Competitive

*Definition:* Movement to another position in the same or different role within the same pay band. A Competitive Voluntary Transfer means the job has been advertised, applications screened, and qualified applicants interviewed.

*Approval Authority:* Unit heads may approve a salary offer to maintain an employee's current salary or increase the salary up to 10% of the employee's current salary. Salary increases between 11% and 15% or a salary decrease must be approved by the Division Director or Agency Head and the Compensation Consultant assigned to the unit.

#### Voluntary Transfer – Non-Competitive

*Definition:* Movement to another position in the same or different role within the same pay band. A Non-Competitive Voluntary Transfer means the job was not advertised.

*Approval Authority:* The Commissioner will approve salary increases up to 10% of the employee's current salary or any salary decreases. Unit Heads may approve a salary offer to maintain an employee's current salary.

#### Voluntary Demotion

***Definition:* Movement to a different role in a lower pay band, through either a competitive or non-competitive process.**

*Approval Authority:* Unit Heads may approve maintenance of the employee's current salary or if the employee's salary is over the maximum of the pay band, freezing it for six months. At the end of six months, the employee's salary will be reduced to the maximum of the lower pay band. A salary decrease must be approved by the Division Director or Agency Head and the Compensation Consultant assigned to the unit.

#### Temporary Pay

*Definition:* On a temporary basis, an employee assumes a different role in a higher pay band, assumes new duties in the same or different role in the same band, or assumes additional assignments associated with a special time-limited project.

Temporary pay may be awarded when the assumption of new duties in a higher pay band or same pay band, or duties associated with a time-limited project have been performed for thirty days. Temporary assignments should be no more than 180 days. At the end of 180 days the temporary duties are removed; however, if the

temporary assignment needs to continue beyond the 180 days an extension with additional documentation is submitted. If it is determined that the temporary assignment will be permanent, a request for a role change review is submitted to HRS. *NOTE:* When an employee changes to a different position the temporary pay is automatically removed. Any further pay action is based on the employee's base salary **not** the base salary and temporary pay.

*Different role in a higher pay band* – The Commissioner will approve salaries up to 15% of the employee's current salary, not to exceed the maximum of the higher pay band.

*Same or different role in the same pay band* – The Commissioner will approve salaries up to 10% above the employee's current salary, not to exceed the maximum of the pay band.

*Special Assignment* - The Commissioner will approve salaries up to 10% above the employee's current salary, not to exceed the maximum of the pay band.

## **Role Change**

*Definition:* A non-competitive change in role to a higher, lower, or same pay band due to significant changes in responsibility and duties. Role changes will be submitted to HRS after approval for review has been received from the Commissioner's office. Human Resource Services will conduct an analysis to determine if the changes result in movement to a higher, lower, or same pay band.

***Upward Role Change (change to a higher pay band) – After the analysis of the role change is completed by the assigned Compensation Consultant and movement to a higher pay band is authorized, the Unit Head may approve a salary increase up to 10% above the employee's current salary or to the minimum of the pay band.***

***Downward Role Change*** (change to a lower pay band) - After the analysis of the role change is completed by the assigned Compensation Consultant and movement to a lower pay band is authorized, the employee's current salary will remain unchanged unless it exceeds the maximum of the lower pay band. If the employee's current salary exceeds the maximum of the lower pay band, it will be maintained for six months and then reduced to the maximum of the lower pay band.

*Lateral Role Change* (remain in same pay band) – After the analysis of the role change is completed by the assigned Compensation Consultant, the Unit Head may approve a salary increase up to 5% above the employee's current salary. Salary increases between 6% and 10% must be approved by the Division Director or Agency Head and the Compensation Consultant assigned to the unit.

#### In-Band Adjustment

***Definition:*** In-band adjustments allow agency management the flexibility to provide potential salary growth and allow employees career progression within a pay band. In-band adjustments may occur for the following reasons: a) change in duties; b) application of newly acquired job-related knowledge and skills obtained through education, certification, or licensure; c) retention; or d) internal alignment.

In-band adjustments will be submitted to HRS after approval for review has been received from the Commissioner's office.

No employee may receive more than 10% per fiscal year for In-Band Adjustments. This 10% maximum also includes any salary increases that result from a lateral role change.

*a) Change in Duties* - Assumption of new or changed, higher level responsibilities; however, the additional duties or responsibilities do not warrant movement to a new role in a higher pay band.

**Unit Heads may approve a salary increase up to 5% above the employee's current salary. Salary increases between 6% and 10% must be approved by the Division Director or Agency Head and the Compensation Consultant assigned to the unit.**

***b) Application of new job-related knowledge or skills*** - To encourage and reward employees for application of the knowledge and skills acquired through training, education, certification and/or licensure that benefit the agency.

**Unit Heads may approve a salary increase up to 5% above the employee's current salary. Salary increases between 6% and 10% must be approved by the Division Director or Agency Head and the Compensation Consultant assigned to the unit.**

*c) Retention* – This pay practice is designed to prevent employees from seeking employment outside of the agency in occupations that have high visibility in the labor market when the employees' salaries may not be competitive with the marketplace. Typically salary adjustments are granted to all employees in the same occupation where the retention problem is occurring.

The **Agency Head** may approve salary increases up to 10% for affected employee(s) dependent on salary reference data, turnover data, etc.

*d) Internal Alignment* – The proximity of one employee's salary to other employees' salaries in the same agency who have comparable levels of training

and experience; similar duties and responsibilities; similar performance; and similar levels of expertise, competencies, and/or knowledge and skills.

The **Agency Head** may approve salary increases up to 10% for affected employee(s) dependent upon salary reference data, turnover data, and salaries of other employees in the unit.

#### Disciplinary or Performance-related Salary Action

***Definition:*** For disciplinary or performance-related reasons, an employee can be assigned to a Role in a lower pay band or remain in the same pay band with less responsibilities.

*Approval Authority:* Unit Heads must consult with either the Human Resources Director or Employee Relations Consultant before taking this action. Once this is determined to be the appropriate action, a 5% reduction in salary will occur.

#### Competitive Salary Offer

*Definition:* Competitive salary offers can be made to employees who are deemed critical to the agency's mission and on-going operations. Competitive salary offers may be made for internal salary offers from another state agency or external salary offers for organizations outside of state government.

*Approval Authority:* For comparison purposes, supervisors are encouraged to contact the organization making the offer in order to obtain additional information on salary and benefits. The Division Director or Agency Head may approve a competitive salary offer after receiving a written employment offer from the internal or external organization and consultation with the Compensation Consultant assigned to the unit.

#### Reassignment within the Pay Band

*Definition:* Agency business needs may require movement of staff. Reassignment within the pay band is a management-initiated action used for this purpose. Employees may be reassigned to the same or different role within the same pay band. The employee's base salary is not changed.

The Division Director or Agency Head approves this action and the Compensation Consultant assigned to the unit.

## **VII. RECOGNITION AWARD PROCESS**

The Department encourages all employees to fully participate in providing exceptional service to customers. The Department will recognize exemplary service through the use of an Employee Recognition Program consistent with the Department of Human Resource Management policy 1.20 Employee Recognition Programs. The Department's Employee Recognition Policy is located on Human Resource Services' Intranet site. The entire policy is included in Appendix B. The Employee Recognition Program has a Recognition Committee to facilitate the implementation of the program. The Committee has sixteen members representing designated areas of the agency. One member from Human Resource Services functions as an ex-officio member. The awards criteria is in Appendix C.

Classified, wage, and contract employees are eligible. Wage and contract employees are not eligible to receive leave.

## ***VIII. WAGE EMPLOYEES***

The Department will apply the pay practices, as outlined in the Salary Administration Plan, to wage employees. Performance increases or structure adjustments for wage employees will be handled in compliance with directions from the Department of Human Resource Management as outlined in their annual "Compensation Activities" memorandum from the Director, Office of Compensation and Policy.

## ***IX. PROGRAM EVALUATION***

The Department of Rehabilitative Services' Compensation Management unit tracks and monitors all pay actions and will conduct annual reviews and post audits of these pay actions to determine patterns, trends, and compliance to policy; demographics; percentages given, and distributions of salary actions across the agency; EEO and fiscal impact. Results will be evaluated and discussed with agency management. If trends indicate an adverse impact or problem within any section of the agency, an action plan will be developed with management that may include additional training or fewer decentralized actions.

## ***X. APPEAL PROCESS***

The Department has no formal appeals process for compensation decisions. Employees or managers may appeal to the compensation consultant who approved the action. In addition, the state grievance process may be used if necessary. For agency appeals of DHRM actions, the Department will use the process outlined in Appendix D of Department of Human Resource Management's Human Resource Management Manual.

## **XI. EEO STATEMENT**

All salary adjustments will be based on legitimate reasons as detailed in the pay factors and must be unrelated to race, gender, national origin, age, religion, political affiliation, or disability.

## ***XII. COMMUNICATIONS PLAN***

The ***Communication Plan*** for the Department identifies all agency supervisors, managers, and approval authorities. Training and communication of compensation issues is an on-going process. New supervisors and managers attend supervisory training that includes performance management and pay practices. Human Resource Services continues to update employees and managers through mass distribution of information memos via e-mail, presentations to agency management, and one-on-one consultation.

Human Resource Services' developed an Intranet site which provides all policies and related forms, with links to the Department of Human Resource Management's website.

All new employees of the Department receive information on the new pay structure as part of their orientation to the agency.

## ***XIII. AUTHORIZATION AND SIGNATURE***

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James A. Rothrock, M.S., L.P.C., Commissioner DRS

Date

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Maryann B. Belcher, Human Resources Director

Date

## Appendix A

### List of Unit Heads and Division Directors For Salary Administration Plan

<b>UNIT HEADS</b>	<b>AGENCY HEAD/DIVISION DIRECTOR</b>
Position 00131, Chief Deputy (incumbent - Mary M. Cash) Functions as Division Director	James Rothrock
Position 01099, Program Administration Manager III (incumbent - Judith Smith) Functions as Division Director	James Rothrock
Position 00140, Program Administration Manager III (incumbent – Margaret Gillispie)	Judith Smith
Position 00015, Program Administration Manager III (incumbent – Douglas James)	Judith Smith
Position 00519, Program Administration Manager III (incumbent – Barbara Franklin)	Judith Smith
Position 00607, Program Administration Manager III (incumbent – John Phelps)	Judith Smith
Position 00018, Program Administration Manager III (incumbent - Larry Overbay)	Judith Smith
Position 00606, Program Administration Manager III (incumbent – Jack Hayek)	James Rothrock
Position 00351, Audit Services Manager II (incumbent – Dale South)	James Rothrock
Position 00112, General Administration Manager III (incumbent – John Coffey) Functions as Division Director	James Rothrock
Position 00661, Program Administration Manager III (incumbent – Robert Watts) Functions as Division Director	James Rothrock

## Appendix A

### List of Unit Heads and Division Directors For Salary Administration Plan

<b>UNIT HEADS</b>	<b>AGENCY HEAD/DIVISION DIRECTOR</b>
Position 00646, Financial Services Manager II (incumbent – Philip Benton)	John Coffey
Position 01007, Human Resource Manager II (incumbent – Maryann Belcher) Includes WWRC HR	John Coffey
Position W0375, Information Technology Manager II (incumbent – Ernest Steidle)	John Coffey
Position 00300, Policy and Planning Manager II (incumbent – Elizabeth Smith)	John Coffey
Position 01012, Program Administration Manager III (incumbent – Michael Snedegar)	Robert Watts
Position 01010, Program Administration Manager III (incumbent – Ed Gartner)	Robert Watts
Position 01009, Program Administration Manager III (incumbent – Mary Stone)	Robert Watts
Position 01011, Program Administration Manager III (incumbent – Sharon Gottovi)	Robert Watts

EMPLOYEE RECOGNITION POLICY NO. 28 July, 2003

POLICY:

The Department of Rehabilitative Services encourages all employees to fully participate in providing exceptional service to our customers, thereby preserving the exemplary public service reputation established by DRS. DRS will recognize exemplary service through use of an Employee Recognition Program consistent with Department of Human Resource Management Policy.

PROCEDURES:

28.1 RECOGNITION COMMITTEE

A Recognition Committee will be established to facilitate the implementation of the recognition program. The Recognition Committee will consist of 16 members, 15 members representing designated areas of the agency and 1 ex-officio member from the Human Resource Division. The designated areas of the agency and committee membership are:

Central Office	2 members
Field Rehabilitation Services	5 members - one from each region
Disability Determination Services	4 members - one from each region
Woodrow Wilson Rehabilitation Center	4 members - from a variety of disciplines
Human Resource Division	1 ex-officio member

28.2 AWARDS

28.2.1 In all cases the monetary awards may be replaced with the leave awards based on agency budgetary conditions. All awards, however, should be handled consistently during each calendar year unless an unforeseen emergency arises.

Leave awards are only available for classified employees. Wage and contract employees, where identified, will receive monetary awards.

28.2.2 Quarterly Awards

1. NEW EMPLOYEE
- Each new employee will receive a mug at New Employee Orientation.

## 2. CUSTOMER FIRST AWARD

**Criteria:** Employee (classified, hourly or contract) receives an unsolicited complimentary letter from either an internal or an external customer for outstanding customer service or provides recognized outstanding customer service. Award recipients would be selected based upon information supplied on DRS Recognition Award Nomination Form with Supervisor or Manager's endorsement. The final decision will be made by Nomination Committee.

**Limit:** Ten Customer First Awards could be given per quarter in each area.

**Presentation:** Presented by Recipient's Manager via Staff Meeting or other departmental gathering. Member of Employee Recognition Committee would be present.

**Award:** Certificate and Recognition Leave of 4 hours or cash award of \$25.00. In addition, appropriate acknowledgment in agency and office newsletters and bulletins.

## 3. S.T.A.R. AWARD (Services That Are Remarkable)

**Criteria:** Employee's (classified, hourly or contract) work performance goes above and beyond what is normally expected in their jobs, such as identifying and/or developing process improvements, initiating productivity enhancements or budget saving ideas. DRS Recognition Award Nomination Form would be submitted to Nomination Committee. Award recipients would be selected based upon information supplied on nomination form with Supervisor or Manager's endorsement. The final decision will be made by

Nomination Committee.

**Limit:** Four(4) Star Awards could be given per quarter in each area.

**Presentation:** Presented by recipient's manager via staff meeting or other departmental gathering. Member of Employee Recognition Committee would be present.

**Award:** Certificate with Recognition Leave of 16 hours or \$100 cash award. In addition, appropriate acknowledgment in agency and office newsletters and bulletins.

4. TEAM AWARD [**T**ogether **E**veryone **A**chieves **M**ore]

**Criteria:** Teams participating in a project that has a positive impact on DRS, or work unit. Teams can consist of classified, hourly or contract personnel. The DRS Recognition Award Nomination Form would be submitted to Employee Recognition Committee. Award recipients would be selected based upon information supplied on nomination form with Supervisor or Manager's endorsement. The final decision will be made by Nomination Committee.

**Limit:** Two (2) team awards could be given per quarter in each area.

**Presentation:** Presented by recipient's manager via staff meeting or other departmental gathering. Member of Employee Recognition Committee would be present.

**Award:** Certificate for each team member with Recognition Leave of 8 hours or a cash award of \$50 per person, not to exceed \$500 per team. In addition, appropriate acknowledgment in agency and office newsletters and bulletins.

## 28.2 AWARDS

All nominations for the quarterly will be submitted on the DRS Recognition Award Nomination Form. Any other agency employee may make the nominations. The information on the form must clearly articulate why the employee is being recommended for the specific award. The DRS Recognition Award Nomination Form should then be sent to the nominee's supervisor for recommendation and comments. The completed form is then sent to the Nominating Committee.

## ***DISABILITY DETERMINATION SERVICES***

### **Competency Based Advancement from Trainee to Journey to Senior Disability Determination Analyst**

#### **Competencies Required for Each Level of Analyst**

The different levels of disability analyst are based upon increasing competencies in the adjudication of Social Security, Supplemental Security Income, and Medicaid disability claims. Movement from one level to the next cannot occur until the individual has demonstrated satisfactory performance for one quarter in the standards listed on page 2-4 for the types of claims adjudicated by analysts at his/her level. The following table gives a brief description of the responsibilities of each level of analyst.

<b>TRAINEE ANALYST</b>	<b>JOURNEY ANALYST</b>	<b>SENIOR ANALYST</b>
Adjudicates initial Title II (SSDI), Title XVI (SSI), and Medicaid adult disability claims	Adjudicates initial Title II (SSDI), Title XVI (SSI), and Medicaid adult claims; initial SSI and Medicaid child claims; and initial continuing disability review (CDR) claims	Adjudicates initial Title II (SSDI), Title XVI (SSI), and Medicaid adult claims; initial SSI and Medicaid child claims, and initial continuing disability review (CDR) claims  Adjudicates appeals (reconsiderations) of initial and CDR decisions made by Disability Determination Services to ensure decisions are correct and adequately documented for the next level of appeal to an SSA Administrative Law Judge or a Disability Hearing Officer  Prepares a written Appeals Summary and participates in Medicaid due process hearings to explain the laws, regulations, policies, and procedures followed in

		<p>making the DDS decision.</p> <p>Adjudicates complex, difficult, or error prone special workloads caused by court decisions, legislation, etc.</p> <p>Accepts additional claims beyond customary workload based on needs of the DDS</p> <p>Independently completes all forms for physician/psychologist signature needed in the adjudicatory process, to include mental and physical residual functional capacity assessments, psychiatric review technique forms, and childhood evaluation forms.</p>
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### **Mastery of Trainee Analyst Level Competencies**

All newly hired DDS employees will be hired as Trainee Analysts, even those with previous experience as a disability analyst.

Trainees, including those with previous DDS experience, will be expected to successfully demonstrate mastery of the competencies listed below within 24 months of completing centralized training. Trainees will be evaluated quarterly. Any probationary employee who is not showing during their 12-month probationary period the expected developmental performance may be terminated based on State and Agency policy. Those Trainees not on probation who based on quarterly evaluations are not meeting the expected developmental performance may be handled in accordance with State Standards of Conduct policies.

Receipts and clearances of the claims types assigned to trainee analysts average no less than 173 per quarter.

Group I accuracy in decisions is not less than 92.7%. An increased quality assurance sample will be done during the quarter to provide a valid sample.

Mean processing time is not more than 66.1 days.

Accuracy in supervisory case reviews of caseload management skills is not less than 90%. Enhanced supervisory reviews will be done during the quarter.

Independence commensurate with expectations for trainee analysts with no prior DDS experience who have completed one year of training is demonstrated in completion of all forms used in adjudicating claims. An enhanced review by supervisor, case consultants, medical/psychological consultants, and/or quality assurance specialists will be done using the Independent Forms Completion Assessment attached.

(The Employee Work Profile for Trainee Analyst has a more detailed description of the performance expectations for this position.)

A trainee with previous DDS experience can begin to receive sufficient cases per week to demonstrate mastery of trainee level competencies as soon as the supervisor deems this appropriate. A trainee without DDS experience generally undergoes intensive training for up to two years with gradually increasing case assignments and will not be assigned 15 cases per week until the supervisor deems this appropriate. This generally occurs approximately two years post completion of centralized analyst training, but exceptional performers may be able to advance more rapidly.

A trainee analyst will be given daily on the job group and individual training to assist him/her in mastering all competencies necessary for satisfactory work performance. Trainee analysts are expected to master the trainee level competencies no later than 24 months post centralized training. Failure to satisfactorily master these competencies by 24 months post centralized training would require the supervisor to develop a work plan designed to assist the employee in successfully meeting performance expectations and outlining consequences should performance not improve. Supervisory discretion will determine if and when a work plan becomes appropriate for an analyst with previous DDS experience whose progress is unsatisfactory. Trainees may not remain a trainee for more than 24 months post centralized training without implementation of a work plan designed to assist the employee in improving his/her work performance and reduce the chances of

disciplinary action. Exceptions may be made commensurate with time out if the employee has an approved extended absence during the 24 months.

### **Mastery of Journey Analyst Level Competencies**

A journey analyst may remain a journey analyst as long as performance standards for the position are satisfactorily met. Journey analysts may well be given additional training to improve work performance, but they do not have the option of returning to a trainee analyst position.

There is no requirement to advance to Senior level analyst. All analysts currently employed by DDS, except for trainees, will be considered journey level analysts. Any current journey analyst who has not been trained in the adjudication of all claim types or other competencies required of journey analyst must promptly be provided training in these areas.

A 2.5% pay increase will be awarded to current journey analysts upon successful demonstration of these competencies for one quarter:

Receipts and clearances of the claims types assigned to journey analysts average no less than 173 per quarter.

Group I accuracy in decisions is not less than 92.7%. An increased quality assurance sample will be done during the quarter to provide a valid sample.

Mean processing time is not more than 66.1 days for initial claims.

Accuracy in supervisory case reviews of caseload management skills is not less than 90%. Enhanced supervisory reviews will be done during the quarter.

Independence commensurate with expectations for Journey Analysts is demonstrated in completion of all forms used in adjudicating claims. An enhanced review by supervisor, case consultants, medical/psychological consultants, and/or quality assurance specialists will be done using the Independent Forms Completion Assessment attached.

(The Employee Work Profile for Journey Analyst has a more detailed description of the performance expectations for this position.)

### **Mastery of Senior Analyst Level Competencies**

A journey analyst may remain a journey analyst as long as performance standards for the position are satisfactorily met. Should he or she desire to master the competencies necessary to become a Senior level analyst, he/she must indicate to the supervisor the desire to become a senior analyst. The supervisor will make clear the increased expertise and greater range of responsibilities and competencies required of Senior Analysts and arrange any training or increase in case receipts needed in the claims types or other competencies required of Senior Analysts. The Journey Analyst will be able to advance to Senior Analyst and receive a 2.5% pay increase after demonstrating for one quarter:

Receipts and Clearances of the claims types assigned to senior analysts average 15 or more per week.

Group I accuracy in decisions is not less than 92.7%. An increased quality assurance sample will be done during the quarter to provide a valid sample.

Mean processing time is not more than 66.1 days for initial claims and 39.4 days for reconsideration claims.

Accuracy in supervisory case reviews of caseload management skills is not less than 90%. Enhanced supervisory reviews will be done during the quarter.

Independence commensurate with expectations for Senior Analysts is demonstrated in completion of all forms used in adjudicating claims. An enhanced review by supervisor, case consultants, medical/psychological consultants, and/or quality assurance specialists will be done using the Independent Forms Completion Assessment attached.

Appeals Summaries are clearly and concisely written, fully explaining the actions taken by DDS and the policies, regulations, and laws followed. Participation in hearings is professional and the actions of DDS are clearly explained to all participants. Supervisory reviews of Appeals Summaries and monitoring of hearings will be used to evaluate mastery of this competency.

(The Employee Work Profile for Senior Analyst has a more detailed description of the performance expectations for this position.)

Satisfactory performance as a Senior Analyst is necessary to remain in that position. Employees who initially demonstrated the ability to satisfactorily perform the duties of a Senior Analyst, but do not then continue to meet the expectations for Senior Analysts will have the option of returning to a Journey Analyst position with the appropriate salary decrease. An employee who is returned to a Journey Analyst level is expected to satisfactorily meet the expectations of the position. Failure to satisfactorily perform in the Journey position would require the supervisor to develop a work plan designed to enable the employee to meet performance expectations and outlining consequences should performance not improve. Journey analysts may well be given additional training to improve work performance, but they do not have the option of returning to a trainee analyst position.

### **In-Band Adjustment for Application of New Knowledge, Skills, and Abilities**

The Unit Supervisor of the employee who has successfully demonstrated mastery of the competencies of a particular level of analyst will complete the appropriate Journey Analyst or Senior Analyst Competency Inventory Form (see attached) for Human Resources. The employee must meet all the competency levels listed. The form will be signed by the Unit Supervisor. The Competency Inventory Form will be attached to a completed page one of the Pay Action Worksheet (PAW) (which must be signed by the Unit Supervisor, the Regional Director, and the DDS Division Director.) The pay action to be used is: In-Band Adjustment for Application of New Knowledge, Skills, and Abilities. The DDS Division Director has determined that the appropriate salary increase for this action is 2.5%. A packet for each affected employee should contain: a completed and signed page 1 of the Pay Action Worksheet with the Competency Inventory Attached and a signed and updated EWP for the new position.

## **NEW COUNSELOR SKILLS AND COMPETENCIES CHECKLIST**

The New Counselors Skills and Competencies checklist was developed to assist human services managers ensure Field Rehabilitation Services counselors possess a specific level of knowledge, skills and abilities as they begin their careers with the Virginia Department of Rehabilitative Services (DRS). To assist the managers in development of the requisite skills and competencies, formal training programs such as New Counselor Skills Training (NCST), Job Development and Job Placement Training, Caseload Management Training, Conflict Resolution Training and Computer Training are available. Additional training and mentoring occurs in locally structured formats.

The New Counselor Skills Checklist is an inventory of skills acquired in formal classroom settings, in on-the-job training or through direct supervisory contact. Critical information for new employees, including history and theory, is found in the literature provided to the new counselors during the initial orientation.

Managers should use the checklist during the prior approval period to guide new counselors in their training and development efforts. Managers and the counselor should sign and date the checklist once all skills and competencies are mastered. This checklist, submitted to Human Resources through the Regional Director, in combination with the Pay Action Worksheet, will signal that the employee is qualified to become a Senior Counselor and is eligible for an in-band adjustment.

### **New Counselor Skills Training**

**Program Purpose:** The New Counselor Skills Training incorporates the core areas of knowledge essential for beginning a counseling career with the Department of Rehabilitative Services. There is a strong emphasis on consumer directed job placement activities. Counselors are exposed to consumer-focused case management skills. This is accomplished by keeping the consumer's objective(s) as the basis for our services throughout the process. The recurring themes throughout all modules includes the utilization of a consumer-driven approach to case and caseload management, collaboration, effective planning, consumer inclusion, resource utilization, and job placement. Job placement related activities are the key focus of this training activity. Participants will also learn about Woodrow Wilson Rehabilitation Center (WWRC) and the many services available.

### ***Job Development and Job Placement***

**Program Purpose:** This training provides information to help participants understand the dynamics of job development and job placement. It focuses on empowering consumers to take the lead in securing employment. Participants will learn basic tools necessary to promote this empowerment. A series of activities including role-plays directed job search activities and meeting with employers to define best strategies for successful employment outcomes are included.

## **Caseload Management**

**Program Purpose:** This training provides counselors opportunities to increase overall consumer employment outcomes by learning more effective caseload management practices. The focus on effective caseload management tools promotes greater consumer involvement and enhances the planning process for Field Rehabilitation Services staff. Staff learn effective time management strategies, greater fiscal responsibility, practice using their caseload management tools and how to better monitor and manage case flow.

## **Conflict Resolution**

**Program Purpose:** The training provides agency front-line staff with effective ways to deal directly with conflict arising in the vocational rehabilitation process. Focusing specifically on conflict in the consumer/provider relationship, participants explore techniques to defuse conflict-provoking situations and examine personal approaches to conflict. Emphasis is placed on effective listening skills as the key to preventing and resolving conflict. Staff learn to understand the nature of conflict, their reaction to it, and how conflict impacts the provider-consumer relationship. Participants learn strategies that reduce or prevent conflict, learn conflict resolution and problem solving skills and strategies and learn to recognize when a third party is needed to facilitate resolution.

## **Computer Training Skills**

**Program Purpose:** To develop counselor's skills and understanding of the agency's standard computer applications including but not limited to the Virginia Rehabilitation Information System (VRIS), and agency-approved versions of Microsoft Windows (operating system and file management), MS Word (word processing), MS Outlook (email and information management) and MS Explorer (Internet/Intranet). Regional training classes are available for all staff and new counselors are encouraged to consult with their supervisor and training coordinator to register for the classes that meet the new counselor's needs and level of competency. Training on these and other computer applications can be received at the office level with persons designated to do such training. Computer Based Training CD's (CBT's) and self-paced learning textbooks are available in the local office for this purpose to learn Microsoft Applications. On-line reference manuals (Policy Manual and VRIS on-line training manual) are available for VRIS training. Refer to the checklist attached for a minimum set of computer-related competencies, which should be mastered.

## **Implementation Procedures**

Much of the information, including history and theory, is found in the literature provided to the new counselors during the initial orientation. The following literature is made available to them during the two-week orientation.

- Foundations of the Vocational Rehabilitation Process
- Disability Handbook
- The Job Placement ADA Connection
- Case Management and Rehabilitation Counseling: Procedures and Techniques

Space has been left at the end of the form for managers to add any specific skills or competencies necessary for the individual counselor. Managers should use the checklist during the first year of employment to guide new counselors in their training and development efforts. Managers may wish to sign and date the checklist and place it in the counselor's file.

## HUMAN SERVICES MANAGERS CHECKLIST

### NEW COUNSELORS TRAINING AND ORIENTATION LEADING TO BASIC SKILLS AND COMPETENCIES

#### **INTRODUCTION TO EMPLOYMENT IN DRS (Complete prior to first NCST session)**

- ( ) *General information for all staff*
- ( ) *Orientation to state employment*
- ( ) *History and philosophy of Vocational Rehabilitation*
- ( ) *Staff roles in rehabilitation process – flow chart*
  - Local office (Mentoring)
  - Regional office
  - Central office
- ( ) *Training and staff development opportunities*
- ( ) *Travel regulations*

#### **OVERVIEW OF DRS ( Complete prior to first NCST session)**

- ( ) *Process and purpose of DRS services*
- ( ) *DRS in partnership with community agencies*
  - Networking
- ( ) *Confidentiality*
- ( ) *Appeals process*
- ( ) *Forms, manuals, statutes and DRS resources*
- ( ) *Resources of vocational rehabilitation*
  - Statewide
  - Community
  - WWRC

#### **INITIAL INTAKE, AND DIAGNOSTIC ACTIVITIES**

- ( ) The referral process (00)
- ( ) Developing partnerships with community agency referral sources, e.g. WIA and One-Stop Employment Centers
- ( ) Initial interview (02)
- ( ) Completion of intake forms
- ( ) Consumer Choice, Rights and Responsibilities, Confidentiality
- ( ) Referral for assessments and/or diagnostics
- ( ) Think job placement from intake
- ( ) Case closure 00-08, 02-08

Prior to coming counselors should have:

- Job shadowing with seasoned counselors.
- Completed at least 5 independent intakes (02) to include completing RS-3, 3i, 3e, 3j, general medical, RS-13, RS-5a, RS-4O, voter registration, social security verification. Be familiar with RS 457.
- Participated in 1 or more introductory group orientation programs, if available.
- Completion of at least 1 closure. Status 00 to 08, 02 to 08.
- Visit the regional vocational evaluation unit in order to understand what is involved in referring an individual for a diagnostic evaluation.
- Be familiar with Policies and Procedures Manual, S/I Manual, other Intranet resources.
- Visit the (a) local One Stop Employment Center.
- Visit/meet with a local vendor and community resource that serves your office.

## **ELIGIBILITY**

- ( ) Understanding what is included in a thorough diagnostic study
- ( ) Criteria for eligibility (10)
- ( ) Documentation of disability
  - Expediting documentation to be in compliance with 60 day limit
  - SSI/SSDI
  - Disabilities with specific documentation requirements
  - Use of counselor observation to document disability
- ( ) Defining and identifying functional limitations and significant disability
- ( ) Documenting the impediment to employment
- ( ) Conducting an extended evaluation (06)
- ( ) Providing consumer with Information on Development of the Employment Plan

Prior to coming counselors should have:

- Knowledge of what documentation is required for establishing eligibility (interpretation of diagnostics/vocational implications).
- Knowledge of eligibility criteria.
- Be familiar how to use the policy manual with specific emphasis on Chapter 3.
- Become familiar with the Service Reference and Training and Facilities Manuals.
- Written independently or in collaboration with others a minimum of 5 certificates of eligibility.

## **IPE DEVELOPMENT AND IMPLEMENTATION**

- ( ) Evaluating case facts for effective plan development
- ( ) IPE planning including vocational goal and consumer informed choice (12)
- ( ) Determining customer's level of financial participation
- ( ) Woodrow Wilson Rehabilitation Center
  - WWRC admissions policy & application procedure
  - Appropriate use of WWRC
  - Informed consent & vendor choice
  - Confidentiality & release of information
  - Discharge planning
- ( ) Case Closure 12-30
- ( ) Counseling and guidance (14)
- ( ) Physical Restoration Services (16)
- ( ) Training (18)
- ( ) Rehabilitation Engineering and Technology
- ( ) Interruption of Services (24)

- ( ) Case Transfer (31/33)
- ( ) Case Closure 14/16/18-28, 24-28

*Prior to coming counselors should have:*

- *Knowledge of actions one might be taking to help a client determine a reasonable vocational goal.*
- *Knowledge of financial participation for developing their Employment Plan*
- *An understanding of informed choice in developing the Employment Plan*
- *In collaboration with the customer, write a minimum of 3 Employment Plans.*
- *To have reviewed cases to include physical restoration, training, counseling and guidance, Supported Employment, and utilization of WWRC.*
- *Understand the employment plan implementation, monitoring and review process.*
- *Understand the purpose of amendments, substantial and minor, e.g. deletion of services, decrease or increase customer's financial participation, change in vocational goal, extension of service or new service, change in progress measure.*
- *Attend at least one networking meeting in your local area.*
- *Job shadow a supported employment job coach*
- *Meet with a training vendor to better understand vendor roles & responsibilities.*

## **JOB PLACEMENT AND FOLLOW-UP**

- ( ) Agency marketing efforts
- ( ) Employment resource centers
- ( ) Marketing resources and tools
  - Displays
  - Handouts
  - Presentations and Modules
- ( ) Understanding basic ADA
  - Employment Regulations
  - Reasonable Accommodations
- ( ) Roles and responsibilities in placement (20,22)
  - Customer
  - Counselor
  - Manager
  - Community resources
  - WWRC
  - Virginia Employment Commission
  - Employer
  - Other
- ( ) Employer/Placement Incentives
  - Work Opportunities Tax Credit, Virginia Tax Credit
  - Social Security, IRE
  - OJT
  - Unpaid Work Experience
- ( ) Understanding local business culture
- ( ) Case Closure 20/22-26
  - 90-day follow-up
- ( ) Post Employment Services

*Prior to coming counselors should have:*

- *A working knowledge of local and regional placement resources.*
- *Schedule with the PSTS a tour of the local Employment Resource Center.*
- *Call regional marketing coordinator.*
- *Review the manual to understand closure procedures.*

## **CASELOAD MANAGEMENT**

- ( ) Organizing and managing the caseload
  - Involving the customer/family members advocates
  - Keeping an employment focus
  - Addressing stalled cases – move them or close them
- ( ) Time management/organization
  - Identifying, prioritizing, and planning client services
  - Scheduling itinerary stops, office time, phone calls, mail, and VRIS
  - Paperwork/documentation/VRIS
  - Time wasters
- ( ) Fiscal management
  - Case service budget projecting
  - Authorization aging report
- ( ) Caseload management tools
  - Calendars
  - Outlook
  - Caseload Management Report
  - Review Date Report
  - Client by Caseload Report
  - Pending Follow-up Contacts Report
  - Status 02 Report
- ( ) Monitoring and Managing Case Flow
  - Using Caseload Analysis to prioritize actions

## **STANDARDS OF CASEWORK PERFORMANCE AS RELATED TO COUNSELOR/SUPERVISOR ACTIVITIES**

- ( ) Individual performance expectations
- ( ) Office expectations
- ( ) Computer skills expectations
- ( ) Monthly reports to supervisors

## **STANDARDS FOR COUNSELOR PERFORMANCE**

- ( ) Ethics and confidentiality
- ( ) Staff/customer boundaries
- ( ) Effective decision making

## **VRIS AND COMPUTER SKILLS TRAINING**

### ***Use of the VRIS System***

#### **Prerequisites:**

Successful use of the VR system requires ability to log onto the HP3000 using our Wide Area Network and also an understanding of data entry codes and requirements that are specified in related documentation.

Therefore, before using VRIS the following prerequisites apply:

- ( ) Basic understanding of the use of the personal computer and peripheral equipment such as printers, scanners, etc., and any adaptive equipment which may be assigned to the individual.
- ( ) Demonstrated competency logging onto and using a LAN/WAN.
- ( ) Basic understanding of MS Windows 95/98, how to start a program and launch Reflections.
- ( ) Access and use of the Intranet Policy Manual (see Intranet checklist below) for instructions regarding codes and data entry for VRIS.
- ( ) Alternate: access to up-to-date paper equivalent of the Policy Manual.
- ( ) Access and use of the Services Reference Manual (see Intranet checklist below) for codes and qualifying service information for VRIS data entry
- ( ) Alternate: access to up-to-date paper equivalent of the Services Manual.
- ( ) Access and use of paper forms and electronic forms used for VRIS data entry

### **VRIS Client Services Module**

Demonstrated competency using the following:

- ( ) Logging onto the VRIS production database (requires VRIS user ID and password)
- ( ) Navigation of the VRIS menu system
- ( ) Inquiry screens to access case management information, in particular,
  - ( ) Client/Case inquiry to view all data on an individual client
  - ( ) Clients By Caseload inquiry to view a full listing of caseload sorted by current status
  - ( ) Selected screen reports for case management information, in particular
    - ( ) ability to run a Status 02 report on screen
  - ( ) Print reports for case management information
  - ( ) Screen Print command for hard copy documentation
  - ( ) Copy|Paste commands to use VRIS information to the word processor (also see checklist for MS Word)
- ( ) Data entry screen for intake (Referral & Application screens)
- ( ) Data entry screen for diagnostic planned services prior to Employment Plan
- ( ) Data entry screen for Eligibility
- ( ) Data entry screen for Employment Plan using Laser Print command
  - ( ) Review Dates Screen
  - ( ) Planned Services Entry including entry for Comparable Benefits
  - ( ) Printing Employment Plan Page 1 and Planned Services to laser printer
  - ( ) Laser Print Command & use of print selection screen
- ( ) Plan Entry screen to enter Extended Evaluation

- ( ) Plan Entry screen to enter Amendments to the Employment Plan
- ( ) Data entry for Status Changes
- ( ) Data entry for unsuccessful closure prior to 26
- ( ) Data entry for 26 Closure
- ( ) Data entry for 90 Day Follow-up

#### **VRIS Authorizations Module**

- ( ) VRIS data entry for Single Authorization to Vendor
- ( ) VRIS data entry for Multiple-line Authorization to same Vendor
- ( ) Printing Authorizations in batch
- ( ) Printing of single authorizations on demand
- ( ) Inquiry and Reports for Authorizations
- ( ) Maintenance of outstanding authorizations upon closure

### ***Computer Skills Training***

#### **Identification of Help & Training Resources**

- ( ) Identification of office Super User(s) for local office assistance regarding computer skills & training
- ( ) Ability to find Computer Skills Training web site (<http://intranet/dsa/training/cst.html>) for training calendars, forms, etc.
- ( ) Identification of Help Desk telephone number and e-mail address to report and resolve problems.
- ( ) Identification of PC support staff (BOA) serving the local office

#### **Network, MS Windows and File Management (Required):**

Counselor must show at least basic competency with the operating system and file management. Must have basic understanding of:

- ( ) The function of the Local Area Network (office server) and Wide Area Network (Intranet/Internet, VRIS)
- ( ) Windows 95
- ( ) Intro. to use of File Manager and File Management Protocols
  - ( ) can find and use My Documents folder on C:\ drive
  - ( ) can find and use personal folder on H:\ drive
  - ( ) can find and use shared folders on K:\ drive
  - ( ) demonstrates ability to create folders and save files to folders
  - ( ) demonstrates ability to move files to folders
  - ( ) demonstrates ability to copy files to folders

**MS Word, Level I (Required):**

Substantial case documentation is completed using word processing for case narratives, letters, forms, and other tasks. Counselors should be competent to use the agency standard word processor to compete these tasks.

**Pre-requisites**

- ( ) Keyboarding Skills: typing at sufficient speed and accuracy
- ( ) Adaptive requirements, if needed (dictation program, special keyboarding or other workstation adaptations attended to)

Basic word processing skills: Demonstrated competency with the following

- ( ) typing on the blank page (normal.dot) using word-wrap, creation of paragraphs, moving around with mouse and arrow keys, page-up page-down, home, end, scroll bars.
- ( ) Basic View commands: page layout and Zoom display options
- ( ) Setting page margins & orientation
- ( ) Basic Insertion commands: Insert Date/Time, page break, page numbers
- ( ) Basic-formatting commands: font, paragraph, tabs
- ( ) Basic tools: Spell Checker, Thesaurus, and AutoCorrect
- ( ) Highlighting techniques with mouse and keyboard
- ( ) Basic-editing commands: Copy, Cut, Paste, Undo
- ( ) Use of basic fill-in forms (Word protected forms)
- ( ) Basic print command and print preview
- ( ) Use of on-line Help
- ( ) Use of standard and formatting toolbar shortcuts

Basic File Management; understanding and demonstrated competency with:

- ( ) File|Open Command for retrieving existing files
- ( ) File|New Command for using Word Templates
- ( ) Intro to difference between Word 6.0 Templates and Files
- ( ) File|Save As command for naming and saving files
- ( ) Creation of folder for customer files using the File|Save As dialog box
- ( ) Protocol for naming and using Client Directories
- ( ) Protocol for naming and saving client files
- ( ) Protocol for backing up files
- ( ) Orientation to and use of basic files and templates provided by local office
- ( ) Orientation to hard copy requirements (printing and filing) by office staff
- ( ) Able to identify Super User/Mentor for help in counselor's office

**MS Word, Level II (recommended):**

To make the most productive use of automated features of VRIS and MS Word for client documentation and processing requirements, the following abilities are needed:

- ( ) File management and backup strategies
- ( ) Create and Use AutoText entries
- ( ) Highlighting techniques and Quick Menu (right mouse button)
- ( ) Work with multiple files simultaneously
- ( ) Work with multiple applications simultaneously: File Manager, Word, VRIS
- ( ) Copying information from a VRIS screen to a Word document
- ( ) Create and use Tables, including calculation of a column of numbers, auto format, and wizards
- ( ) Extended Edit|Undo and Re-do
- ( ) Un-protecting/re-protecting a fill-in form to customize or use
- ( ) Intermediate formatting features: bullets and numbering, headers/footers
- ( ) Extended printing and previewing commands
- ( ) Extended Zoom commands
- ( ) Use of the ruler for tabs, indents, and margins
- ( ) Template and file management on a network

**MS Word, Level III (Optional):**

Level III objectives vary depending on the participants' level of competency and job requirements. Some of the objectives include:

- ( ) Creating, modifying, and correcting protected forms
- ( ) Correcting and modifying tables, and table design
- ( ) Using Macros for automated commands and automated processing
- ( ) Mail Merge for labels and form letters
- ( ) Extended use of right mouse button
- ( ) Extended use of VRIS and W60 simultaneously
- ( ) Use of Word and the Internet/Intranet

**Forms & Templates: MS Word files provided with instructions for use**

- ( ) Appointment & Contact Letters
- ( ) Vocational Diagnostic Interview
- ( ) Field Notes, Continuation Sheet
- ( ) Referral/Application including Interview outline(s)
- ( ) Application for VR Services (client signature form)
- ( ) Referral forms for evaluation, medical information, etc., and cover letters
- ( ) Certificate of Eligibility
- ( ) WWRC Referral & WWRC Application
- ( ) IWRP for Vocational Rehabilitation Services (for VRIS Laser Print)
- ( ) IWRP for Extended Evaluation (VRIS Laser Print program)

- ( ) Worksheet for Substantial Amendments to the IWRP
- ( ) DRS Intermediate Objectives
- ( ) New Intermediate Objectives
- ( ) Closure Form

### **MS Outlook E-Mail (REQUIRED)**

Email: Minimum Competencies (Required)

The agency maintains conducts a substantial amount of communications using electronic mail with MS Outlook as the standard mail system. As a minimum, new counselors should be able to demonstrate ability to:

- ( ) Read email
- ( ) Read attached files that are sent with messages
- ( ) Reply to a message
- ( ) Forward a message using addresses in the Global Address Book (GAL)
- ( ) Create & send a new message using Global Address Book (GAL)
- ( ) Attach a file using the Insert command or using the File|Send To... command in Word.
- ( ) Delete messages
- ( ) View properties for individuals using the address book, address lists, and

In addition to the above required e-mail skills, the counselor may, depending on their job requirements, demonstrate ability to:

- ( ) Create a mail folder to organize and archive messages for recall
- ( ) Create Internet addresses using Personal Address Book (Outlook 98) or Contacts (Outlook 2000)
- ( ) Create and use personal distribution lists
- ( ) Use addresses to produce labels, form letters, and mail merges

### **Outlook Personal Information Management (PIM) Applications (Calendar, Contacts, Tasks)**

Personal information management (PIM) can be utilized to increase caseload productivity. The local field office may also utilize these tools as shared resources under Public Folders. It is recommended that counselors use these tools in a way that meets the local office requirements and their own case management needs.

**Calendar:** Outlook's online calendar may be used to organize time required for appointments and projects.

At the basic level counselor may demonstrate ability to

- ( ) Create appointments and time blocks
- ( ) Access the appointment window to set start and end times, reminders, messages, and attachments
- ( ) View calendar as daily, work week, 7-day week, and month
- ( ) Print calendar in desired format
- ( ) Access any public calendars used by the field office, if any.

In addition to the basic skills and dependent on the counselor's job requirements, he or she may also demonstrate ability to:

- ( ) Manage appointments and meetings using the calendar "Invite Others" capabilities
- ( ) Create recurring appointments
- ( ) Attach files and messages in the appointment window
- ( ) Customize calendar printout
- ( ) Create monthly calendar using Word macro for word wrap

**Contacts:** Outlook provides a powerful "electronic rolodex" database to keep track of important contacts for use with e-mail, form letters and labels, searching the Internet and even maps and directions.

At the basic level the counselor may demonstrate ability to:

- ( ) Create contact with basic address, telephone number(s) and email(s)
- ( ) Use contact to send e-mail (ability to locate contact in the address lists)

In addition to the basic skills and dependent on job requirements, the counselor may demonstrate ability to:

- ( ) Use contact list to generate a form letter
- ( ) Use contact to map an address & get driving directions
- ( ) Attach files to contact record
- ( ) Use contact database as a mail merge
- ( ) Use contact to manage meetings
- ( ) Use contact to set up distribution lists
- ( ) Use the Journal feature to keep a running journal of word documents, emails, appointments, tasks, and contact notes.

**Tasks:** Outlook provides a way to manage projects with its task management system.

At the basic level, the counselor may demonstrate ability to:

- ( ) Create an entry in the task list and in the Calendar view.
- ( ) View the task list in the Calendar view
- ( ) Print the task list in the desired format
- ( ) Mark a task as complete

In addition to the basic skills, counselor may also demonstrate ability to:

- ( ) Use task window to modify task & set reminders & attach related files and messages
- ( ) Assign tasks to others in their work group
- ( ) Set recurring tasks
- ( ) Customize the task view
- ( ) Create and use Categories to group related tasks & projects

#### **Intranet/Internet**

The agency maintains its own web services for internal and external tools and searches standardized on Microsoft Internet Explorer 5.0 or above. The ability of the counselor to find and utilize required resources is essential to productivity

#### **Intranet Policy Manual**

Counselor must demonstrate basic ability to:

- ( ) Launch the Policy Manual using Internet Explorer
- ( ) Use the Topic Contents links to view chapter headings and sub-headings
- ( ) Use the Index to search for web pages that contain keywords within the manual
- ( ) Use the Search link to freely search the manual for keywords entered by the user
- ( ) Use Explorer's "Find On This Page" command to find where key words are located on the web page
- ( ) Use the Downloads link to copy chapters of the manual if needed for remote or offline use
- ( ) Ability to print only the section of the manual needed by highlighting text and executing the File|Print|Selection command. Note: This is an ESSENTIAL skill if counselor is going to print sections of the manual.
- ( ) Ability to identify and use links within the manual to other resources such as state and federal regulations.
- ( ) Ability to identify and use hyperlinks from within the manual to other sections of the manual.

In addition to the basic skills outlined above, the productive counselor will demonstrate the ability to

- ( ) Use the Windows Clipboard to copy text to Word for use with case notes, letters, and other documentation.
- ( ) Copy policy text to Outlook e-mail for review and collaboration
- ( ) Use the Search command with Boolean search parameters

### **Intranet Services Reference Manual**

At the basic level counselor must show ability to

- ( ) Launch the Policy Manual using Internet Explorer
- ( ) Use the Topic Contents links to view major headings and sub-headings
- ( ) Use the Search link to search for web pages that contain keywords within the manual
- ( ) Use Explorer's "Find On This Page" command to find where key words are located on the web page. This is particularly useful with CPT codes.

In addition to the basic skills outlined above, the productive counselor will demonstrate the ability to

- ( ) Use the Windows Clipboard to copy text to Word for use with Employment Plan Services Worksheet, case notes, letters, and other documentation.
- ( ) Copy policy text to Outlook e-mail for review and collaboration
- ( ) Use the Search command with Boolean search parameters

### HUMAN SERVICES MANAGERS INDIVIDUAL CHECK LIST

- ( )
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COUNSELOR SIGNATURE

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HUMAN SERVICES MANAGER

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DATE

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DATE

## COUNSELOR MANAGERS CHECKLIST VOCATIONAL EVALUATORS COMPETENCY STANDARDS

### **Introduction to Employment in DRS and Vocational Evaluation Services**

- General information to all staff
- Orientation to state employment
- History and Philosophy of Vocational Rehabilitation
- Staff roles in rehabilitation process and the vocational evaluation process - flow chart
  - Local office (mentoring)
  - Regional office
  - Central office
- Training and staff development opportunities
- Travel regulations

### **Vocational Rehabilitation Process**

- Process and purpose of DRS services, including:
  - DRS mission
  - DRS's role/relationship with community partner agencies
  - Confidentiality
  - Client appeals process
  - General familiarity with DRS forms, manuals, etc.
  - Working knowledge of DRS status system
  - Familiarity with DRS financial participation policy
- Working knowledge of Vocational Evaluation's role within the VR process
  - Services that can be provided at different stages
- Working knowledge of DRS referral and intake process
  - Purpose of initial interview & Information collected
- Working knowledge of eligibility process
  - Basic familiarity with Certificate of Eligibility
  - Basic familiarity with DRS eligibility criteria
- Employment Plan Development and Implementation
  - Understanding the role and function of vocational evaluation services in the development of the IPE
  - Understanding the role of Vocational Evaluator as an ongoing member of the VR team
- Job Placement and Follow-up/Case Closure
  - Understanding the role and function of Vocational Evaluation during this stage (e.g., Job Analysis)

### **Vocational Evaluators should have:**

- *General understanding of DRS mission and purpose through meetings with manager and/or a seasoned counselor*
- *Working knowledge of basic forms counselors utilize throughout the VR process through meetings with manager and or a seasoned counselor*
- *Observed at least two intake interviews conducted by a DRS counselor*
- *Observed at least two meetings with a DRS counselor and client where the Vocational Evaluator participates as a member of the team*

## **Contents of Vocational Evaluation**

- Client's vocational interest
- Client's vocational goals
- Client's rehabilitation plans
- Performance skills and aptitudes
- Work related behaviors
- Transferable skills
- Physical capabilities
- Mental/Emotional Capabilities
- Learning Styles
- Independent Living Skills
- Job Seeking/Job Retention Skills
- Vocational Barriers to employment
- Functional limitations
- Assistive technology/devices
- Reasonable accommodation needs and modifications
- Other life interests

## **Types of Vocational Evaluation**

- Comprehensive
- Special Assessment
- Consultation
- Situational Assessment
- WWRC Vocational Evaluations

## **Referral Process**

- Admission Criteria
- Feasibility for DRS services with respect to employment
- Suitable vocational objectives
- Nature and Scope of Rehabilitation services to be provided
- Appropriate referrals
- Referral information
- Screening referrals

## **Vocational Evaluation Intake Process**

- Group assessment
- Individual assessment
- Review of referral data

## **Vocational Evaluation Process**

- Initial Interview
- Client orientation to Vocational Evaluation
- IVEP Development
- Goal Planning
- Test Selection - Psychometric, Work sample, Computerized
- Guidelines for work sample selection
- Testing environment
- Physical environment
- Emotional environment
- Test Modification
- Concluding testing
- Exit Interview
- Sharing Evaluation Results

- Sharing Behavioral Observation
- Discussing Results

### **Test Selection, Modification, Environment**

- Knowledge of testing norms and standards
- Knowledge of statistical validity and reliability standards
- Knowledge of work sample systems
- Knowledge of psychometric tests
- Knowledge of aptitude tests
- Knowledge of achievement tests
- Knowledge of cluster traits, job samples, simulated work samples and single trait work samples
- Knowledge of appropriate test modifications and assistive technology
- Working knowledge of sources of Occupational Information (DOT, O'NET)
- Knowledge of appropriate testing environments

### **Communication with Client**

- Communicate with client in functional, understandable language
- Explain overall purpose of vocational evaluation at onset
- Provide interpretation of individual test results throughout evaluation process
- Share behavioral observations and potential employment impact with client
- Discuss recommendations with client in a clear, concise manner
- Allow client opportunity to provide feedback and ask questions
- Ask clarifying questions to assess client's understanding of results/recommendations

### **Client's Role: Rights/Responsibilities**

- Individualized vocational evaluation
- Integrated part in planning, assessment, and recommendation process
- Understanding of test results, documented behavioral observations, and recommendations
- Appeal option regarding any portion of the assessment process
- Confidentiality regarding all information

### **Vocational Evaluation Report: Vital Element**

- Conclusions/recommendation with supporting documentation and justification
- Usable information regarding client's readiness to work
- Objective, descriptive behavioral observations
- Consideration of alternative job and training opportunities
- Identification of alternative to gainful, integrated employment
- Ancillary services, accommodations, or modifications
- Client's goals and response to recommendations

### **Vocational Evaluators should have:**

- *Working knowledge of Vocational Evaluation Reporting*
- *Evaluators are required to write vocational evaluation reports independently*
- *Evaluators should have working knowledge of evaluation process, ability to communicate effectively with clients, contents of evaluation, referral and intake process*
- *Evaluator is required to select, modify assessments for clients independently*
- *Evaluator is required to write a minimal of 5 vocational evaluation reports independently*
- *Evaluators and Chief Evaluators will be able to monitor and evaluate the competency of the above areas according to the Standards and Best Practices Manual for Vocational Evaluation Services*

### **Job Analysis**

- Understanding purpose & process
- Knowledgeable of the types of job analyses
- Develop knowledge of the local job market

- Conducting a Job Analysis
- Develop knowledge of exactly what local jobs require
- Increase knowledge regarding the development of transferable skills for vocational evaluation clients
- Assist the client and referral source in the assessment for reasonable accommodations
- Assist with the development of the IVEP
- Role of Job Analysis in developing/implementing the IPE
- Assist Supported employment personnel with appropriate job modification knowledge
- Provide assessments that are directly related to available jobs in the local community
- Develop test batteries and work samples that reflect actual job duties as they are found in the local job market
- Provide employers with information for development of job descriptions according to the Americans with Disability Act
- Collaboration with other professionals (Rehab. Engineer, job coach, job placement counselor, etc.)
- Reporting information from the Job Analysis

**Vocational Evaluators should have:**

- *Working knowledge of Job Analysis and the ability to perform various types of job analyses independently*
- *Evaluators should perform at least 2 job analyses with another evaluator and 2 job analyses independently*

**Case Records**

- Organization of Case Record
- Information necessary to provide Vocational Evaluation Services
- Case records maintenance/confidentiality
- Vocational Evaluation case records in context of DRS case records policy and procedure

**Vocational Evaluators should have:**

- Working knowledge of DRS case records policy and procedure, including how VR cases are organized, what information is provided from specific VR forms (e.g., RS-4)
- Met with Chief Evaluator and/or seasoned vocational evaluator to review vocational evaluation case records policy and procedure as identified in the Vocational Evaluation Standards and Best Practices manual (pp 32-33)

**VRIS and Computer Skills Training**

- Prerequisites: Basic understanding of the PC, Intro to Windows, basic understanding of logging onto and using a LAN/WAN (if office is networked)
- VRIS Module 1: Client Data Entry for Vocational Evaluation Services
- MS Word 6.0 Level
- Basic word processing skills
  - basic view commands
  - setting page margins and orientation
  - typing vocational evaluation reports in word formatting
  - basic formatting commands: font, paragraph, tabs
  - basic tools: Spell Check, Thesaurus, and AutoCorrect
  - Highlighting techniques with mouse and keyboard
  - Basic editing command: Copy, Cut, Paste, Undo
  - Basic print command and print preview
  - Use of on-line Help and Examples and Demos program
  - Use of toolbar shortcuts and reading the ruler
- Computer skills training

**Vocational Evaluators should have:**

- *Working knowledge of VRIS for Evaluation entry and the ability to review forms, casework information as needed.*
- *Working knowledge of keyboarding skills, typing at sufficient speed and accuracy*

- *Working knowledge of MS Word 6.0 Level I is required. Level II and III can be obtained through Computer Skills Training*
- *Evaluators are required to be independent in MS Word-Level I function. Levels II and III can be obtained through training*